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JEFFREY J. KING, ESQ
GRAYBEAL JACKSON HALEY LLP
155- 108 th AVENUE, N.E.
SUITE 350
BELLEVUE WA 90884-5901

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OFFICE OF PETITIONS

In re Application of	:
Krempl et al.	: DECISION ON PETITIONS
Application No. 09/887,469	: UNDER 37 CFR 1.78(a)(3)
Filed: 22 June, 2001	: AND
Atty Docket No. NIH-013/E-225-00/1	: UNDER 37 CFR 1.78(a)(6)

This is a decision on the petition filed on 15 December, 2003, under 37 CFR §§ 1.78(a)(3), which is treated as a petition filed under 37 CFR §§ 1.78(a)(3) and 1.78(a)(6), to accept an unintentionally delayed claim under 35 U.S.C. §§ 120 and 119(e) for the benefit of the prior-filed nonprovisional and provisional applications set forth in the amendment filed on 25 August, 2003.

The petition is **DISMISSED**.

A petition for acceptance of a claim for late priority under 37 CFR §§ 1.78(a)(3) and 1.78(a)(6) is only applicable to those applications filed on or after 29 November, 2000. Further, the petition is appropriate only after the expiration of the period specified in 37 CFR §§ 1.78(a)(2)(ii) and 1.78(a)(5)(ii). In addition, the petition under 37 CFR §§ 1.78(a)(3) and 1.78(a)(6) must be accompanied by:

(1) the reference required by 35 U.S.C. §§ 120 and 119 and 37 CFR §§ 1.78(a)(2)(i) and 1.78(a)(5)(i) of the prior-filed application, unless previously submitted;¹

¹Any nonprovisional application or international application designated the United States of America claiming the benefit of one or more prior-filed copending applications or international applications designated the United States of America must contain or be amended to contain a reference (amendment to the first line of the

(2) the surcharge set forth in § 1.17(t); and

(3) a statement that the entire delay between the date the claim was due under 37 CFR §§ 1.78(a)(2)(ii) and 1.78(a)(5)(ii) and the date the claim was filed was unintentional. The Commissioner may require additional information where there is a question whether the delay was unintentional.

A reference to add the prior-filed applications on page one following the first sentence of the specification has been included in an amendment filed on 25 August, 2003. However, the amendment is not acceptable as drafted since it improperly incorporates by reference the prior application. Petitioner's attention is directed to Dart Industries v. Banner, 636 F.2d 684, 207 USPQ 273 (C.A.D.C. 1980) where the court drew a distinction between a permissible 35 U.S.C. § 120 statement and the impermissible introduction of new matter by way of incorporation by reference in a 35 U.S.C. § 120 statement. The court specifically stated:

Section 120 merely provides mechanism whereby an application becomes entitled to benefit of the filing date of an earlier application disclosing the same subject matter. Common subject matter must be disclosed, in both applications, either specifically or by an express incorporation-by-reference of prior disclosed subject matter. Nothing in section 120 itself operates to carry forward any disclosure from an earlier application. In re de Seversky, supra at 674, 177 USPQ at 146-147. Section 120 contains no magical disclosure-augmenting powers able to piece new matter barriers. It cannot, therefore, "limit" the absolute and express prohibition against new matter contained in section 251.

Additionally, the amendment filed with the present petition does not properly state the relationship (i.e., continuation, divisional, or continuation-in-part) between the present application and prior nonprovisional application 09/847,173 as required by (1) above. Petitioner must set forth the relationship between the applications in a new amendment.

specification following the title or in an application data sheet (ADS)) to each such prior-filed application, identifying it by application number (consisting of the series code and serial number) or international application number and indicating the relationship of the applications. Cross references to other related applications may be made when appropriate (see § 1.14).

Accordingly, before the petitions under 37 CFR §§ 1.78(a)(3) and 1.78(a)(6) can be granted, a renewed petition and a substitute amendment to correct the above matters is required.

Further correspondence with respect to this matter should be addressed as follows:

By mail: Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

By FAX: (703) 872-9306
Attn: Office of Petitions

By hand: U.S. Patent and Trademark Office
220 20th Street S.
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Crystal Plaza Two, Lobby, Room 1B03
Arlington, VA 22202

The application is being forwarded to Technology Center 1600 for consideration of the amendment filed under 37 CFR 1.116.

Telephone inquiries should be directed to Senior Petitions
Attorney Douglas I. Wood at 703-308-6918.



Charles A. Pearson
Director, Office of Petitions